

NAVDENCEN SOUTHWEST INSTRUCTION 1610.10A

Subj: ENLISTED PERFORMANCE EVALUATION AND COUNSELING SYSTEM

Ref: (a) BUPERSINST 1610.10
(b) OPNAVINST 6110.1D

Encl: (1) Enlisted Performance Evaluation Submission Schedule
(2) Supervisor's Counseling Session Checklist
(3) NDCSW San Diego Mid-Term Counseling Form
(4) Rater, Senior Rater, and Reporting Senior Listing
(5) Evaluation Program Transfer Standard Operating Procedure
(6) E-7/E-9 Enlisted Fitness Report Input Form
(7) E-1/E6 Enlisted Evaluation Report Form

1. Purpose. To establish instructions for the internal submission and routing of Fitness Reports (FITREP) and Evaluation Reports plus Counseling Record (EVAL) for personnel under Naval Dental Center Southwest (NDCSW).

2. Cancellation. NAVDENCENS DIEGOINST 1616.1D.

3. Background. The geographic separation of NDCSW Branch Dental Clinics (BDC) justified the authorization of selected officers and Chief Petty Officers to prepare and sign enlisted evaluations as authorized in reference (a). Comprehensive policy statements and technical instructions in preparation of the enlisted evaluations are contained in reference (a). The intent of this directive is to assign and clarify reporting officer responsibilities; set reporting schedules and establish counseling requirements per reference (a).

a. There is no action performed by supervisors more important to personnel than the prompt and proper submission of performance evaluations. The performance evaluation report provides a means of recording a member's qualification, and level of performance to a set standard. A timely, thorough, and accurate report is an invaluable tool for the decision process when determining future duty assignments and advancement opportunities.

b. Counseling is an integral part of the evaluation process and provides a continuing dialogue between reporting seniors and subordinates. Throughout the evaluation period, Directors, Department Heads, Senior Enlisted Leaders, and Leading Petty Officers must conduct Mid-Term counseling with assigned personnel regarding their professional growth and development using counseling schedule in reference (a).

4. Policy. FITREPS/EVALS will be prepared in strict compliance with reference (a) and this instruction. Evaluation schedules shall be followed without exception.

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a. Authority and Responsibility. The Commanding Officer is the reporting senior of any member who has reported to his/her command for permanent, temporary, or additional duty under competent written orders.

b. Delegation of Reporting Senior Authority. By this directive, incumbents of the billets listed below are hereby-delegated reporting senior authority.

- (1) Executive Officer
- (2) Director, for Administration
- (3) Director, Area Dental Laboratory
- (4) Branch Directors
- (5) Command Master Chief
- (6) Chief Petty Officers

c. The following evaluations will not be delegated below the Commanding Officer. Delegation authority for the following reports may be assigned to the Executive Officer in the Commanding Officer's absence.

- (1) All E-6 evaluations and E-7 and above Fitreps.
- (2) Reports marked "Significant Problems" for advancement for personnel E-5 and above.
- (3) Reports marked "Progressing" toward advancement which are submitted after all other prerequisites to compete for advancement has been met.
- (4) Reports marked with an overall trait average below 2.0 for personnel E-5 and above.
- (5) Reports marked "Not recommended for retention" for personnel E-5 and above.
- (6) Special reports including commissioning recommendations.
- (7) Reports involving redress under Navy Regulations.

d. All Other Designated Reporting Senior Authority. If the incumbent of a designated billet does not meet the minimum grade requirements or is unable to sign reports, or the Commanding Officer withholds an incumbent's authority; the report will be signed by the next senior in the chain of command having delegated authority, or by the Commanding Officer.

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(1) The Executive Officer has delegated signature authority on all E-5 and below evaluations. Reports on E-5 and E-6 (including members frocked to E-5) is not delegated to Branch Directors and Chief Petty Officers. Submit all E-5 through E-9 evaluations to Headquarters Administration via disk per enclosure (5), and (6) or (7).

(2) Reports on E-4 and below are delegated to Branch Directors (O-3 and above), Command Master Chief and Chief Petty Officers.

e. Responsibilities. The Commanding Officer shall ensure that all evaluation reports are promptly and properly submitted and equitable standards are used throughout the command. Clinic Directors and Senior Enlisted Leaders should be familiar with command averages for each promotion recommendation group. This is accomplished through close liaison with the Command Master Chief.

(1) Delegated reporting seniors are responsible for reports submitted over their signatures. A copy of all evaluations will be submitted to Headquarters Administration.

(2) Evaluation reports on E-6 and below require the signatures of a rater and senior rater as well as the reporting senior. This ensures that the Navy's senior enlisted and junior officer supervisors are properly included in the enlisted evaluation process. The rater should be a Navy Chief Petty Officer whenever possible, but if one is not available within the command, a military or civilian supervisor who is GS-7 or higher is acceptable. Typically, the senior rater will be the member's division officer or department head. The senior rater may be omitted when the reporting senior is the rater's immediate supervisor. Enclosure (4) shall be used to identify rater, senior rater, and reporting senior for all E-1 through E-6 evaluation reports.

f. Enlisted Evaluation Review Board. The board shall be composed of Chief Petty Officers within the command. The board shall meet to review all E-5 and E-6 evaluations to ensure fairness and consistency. The board will make recommendations to the Commanding Officer via the Executive Officer on marks which the board feels should be changed. The Command Master Chief will issue in January dates for all enlisted evaluation/fitrep boards

5. Procedures. This instruction expands upon procedures outlined in reference (a) to be followed by Headquarters and all BDCs of NDCSW. To assist in the Mid-Term counseling and Performance Evaluation process, enclosures (2) and (3) are provided.

6. Mid-Term Counseling. All Mid-Term counseling will be completed during the designated month for the appropriate rank as outlined in reference (a) and enclosure (1).

a. Branch directors will conduct Mid-Term counseling for senior enlisted leaders assigned to their dental clinics.

b. Senior enlisted leaders will conduct Mid-Term counseling on all E-1 through E-6 personnel.

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7. Supervisors shall use enclosures (2) and (3) in preparing for the counseling session. The member being counseled should be given a copy of enclosure (3) for self-appraisal prior to Mid-Term Counseling session. The NDCSW Mid-Term Counseling form shall also be completed as a minimum. When the counseling session is completed, copies of the Mid-Term Counseling form and Fitness or Evaluation Counseling form shall be given to the member counseled. Original of enclosure (3), along with the Fitness or Evaluation Report and Counseling Record shall be maintained with the branch director and senior enlisted leader administrative files. Supervisors shall conduct informal counseling sessions in order to properly monitor job performance and career development of the member being counseled as needed. A memorandum stating completion of counseling for said paygrade shall be submitted to the Command Master Chief.

8. E-7 and above FITREPS. It is emphasized that the submission of FITREPSs involves a dual responsibility. The E-7 or above being evaluated must submit their input in a timely manner. The reporting senior will complete and forward the FITREP to the cognizant authority within guidelines set forth by the Command Master Chief each January. Transfer Fitness Report should reach Headquarters Admin 30 days prior to transfer.

9. Enlisted Evaluation Performance Reports. All regular reports must maintain continuity and frequency. Begin each regular report on the date following the ending date of the previous report. To ensure frequency of reports, no regular report, including any letter extensions, may cover more than 15 months. Other procedures to follow with regards to Enlisted Evaluation Reports include:

- a. Branch directors shall ensure submission of evaluation reports per reference (a).
- b. All members have the right to submit evaluation input, and have the duty to do so if requested by the rater or reporting senior. Enclosure (7) shall be used to provide member's input. Branch directors shall ensure members are given adequate time to submit input.
- c. Enclosure (4) shall be used to identify rater, senior rater, and reporting senior for all E-1 through E-6 evaluation reports.
- d. Blocks 33-39 (Performance Traits). A grade of 3.0 represents performance to full Navy standards, 4.0 is considered well above standards and 5.0 is reserved for performance which is far above standards. A grade of 5.0 should be rare.
- e. Summary letters for E-4 and below evaluation reports are not required. Summary letters for E-5 and E-6 evaluation reports will be prepared by Headquarters, NDCSW.
- f. Enclosure (5) and (6) or (7) shall be used to help in transferring evaluations from branch dental clinics to Headquarters Administration.

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10. Distribution of E-4 and below evaluation reports shall be as follows.

- original to field service record
- copy to branch files
- copy to Headquarters Admin
- copy to member

11. Distribution of E-5 and E-6 evaluation reports shall be as follows:

- original to BUPERS (Admin will forward with Summary Letter)
- copy to Field Service Record
- copy to member

12. Special Evaluations. Although evaluation reports are required on an annual basis, reports may be submitted at other times to document significant instances of performance, both noteworthy and substandard. Directors, department heads, senior enlisted leaders are encouraged to use special evaluations as a tool to enhance the professional growth and development of assigned personnel. Special evaluations will be prepared per reference (a). A special evaluation is always required when a service member is reduced in rate at Commanding Officer's Non-judicial Punishment. Enclosure (4) shall be used to identify rate, senior rater, and reporting senior for special evaluations due to Non-judicial Punishment.

13. Advancement Evaluations. These evaluations are required once the service member has accepted frocking to the next higher paygrade and member would not receive an evaluation in a 15-month period. Education and Training will notify all concerned when an advancement evaluation is required.

a. Chief Petty Officers. Reports are not required on frocking, except when the change in periodic report dates will result in more than 15 months between regular reports. In these cases, submit a special report in the former rate.

14. Transfer/Separation Evaluations. Transfer/separation evaluations will be prepared per reference (a) and should arrive at Headquarters Administration Office not later than 30 days before the member's date of transfer. Periodic reports may be extended after submission for up to three months in place of a detachment report. Refer to reference (a) for further guidance. **No one will transfer or be separated from this command without an evaluation in their service record.** FITREPs/EVALs are not required for personnel transferring to Fleet Reserve or retirement.

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15. Reassignment of Chief Petty Officer to another Reporting Senior. Submit a report if an officer or chief petty officer is reassigned to another reporting senior within the command.

a. Detachment of Reporting Senior or reassignment of E-1 through E-9 personnel feeder reports are optional.

D. D. WOOFER

Distribution:
List I, Case 1, 2

SUPERVISOR'S MID-TERM COUNSELING SESSION CHECKLIST

BRANCH DENTAL CLINIC: _____

SUPERVISOR'S NAME: _____

COUNSELEE'S NAME: _____

It is important that supervisors develop interpersonal skills to help them communicate more effectively. Such skills include tact, experience in relating to various types of people, ability to listen, and genuine concern. Supervisors should use the following checklist, to ensure consistency throughout the mid-term Counseling Session. By following the checklist you will provide systematic and objective counseling to those individuals you counsel. After the counseling session, supervisors should consider evaluating their own performance to see if they achieved desired results.

ACTION

Identify the member's strengths and weaknesses.

- Did member submit a self-appraisal? _____
- Were strengths identified? _____
- Did I discuss performance contributions to the command? _____
- Were shortcomings identified? _____
- Did I review all performance traits with the member? _____

Address specific performance problems, concentrating on ways to develop growth in those areas if appropriate.

- Did I give specific details for each problem? _____
- Did I discuss the causes of the problem? _____
- Did I discuss the impact of the problems on the command? _____
- What could have been done to prevent the problems? _____
- What recommendations do I have to improve performance? _____

Present a Performance Growth, if appropriate.

- Did I discuss what traits the member needs to work on for improvement? _____

- Were specific action steps/time-lines given to get member back on track.

- Did I review the plan and give a copy to the member. _____

Ensure the member has a clear understanding and acknowledges his/her performance during the review.

- Did the member understand the assessment? _____

- Did I discuss further areas of improvement that the member did not understand/disagree with? _____

- Did the member and I sign the counseling worksheet and NDCSW Mid-Term Counseling form? _____

Review what is expected of the member before the next counseling or evaluation report. Ensure the member understands the supervisor's expectations.

- Does the member know what he/she must do after conclusion of the session? _____

- Do I have follow-up actions? _____

- When will my follow-up actions be completed? _____

- Does the member have follow-up actions? _____

- When will the member's follow-up actions be completed? _____

- What suggestions does the member have to improve performance?

(Counselee's Name)

(Counselor's Name)

(Date Counseled)

GRADING SYSTEM FOR E-1 TO E-6**Not Observed/1.0/2.0/3.0/4.0/5.0**PROFESSIONAL KNOWLEDGE - Technical knowledge and practical application.

1.

☐ NOT OBSERVED☐ Marginal knowledge of rating, specialty, or job.

-

☐☐ Strong working knowledge of rating, specialty, or job.

-

☐ Recognized expert, sought out by all for technical knowledge.

2.

☐ NOT OBSERVED☐ Unable to apply knowledge

-

☐ Reliably applies knowledge to accomplish tasks.

-

☐☐ Uses knowledge to solve complex technical problems.

3.

☐ NOT OBSERVED☐ Fails to meet advancement/PQS requirements.

-

☐ Meets advancement/PQS requirements on time.

-

☐ Meets advancement/PQS requirements early/with distinction.

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QUALITY OF WORK STANDARDS - Standards of work, value of end product.

1.

☐ NOT OBSERVED☐ Needs excessive supervision.

-

☐ Needs little supervision

-

☐ Needs no supervision

2.

☐ NOT OBSERVED☐ Product frequently needs work

-

☐ Produces quality work. Few errors and resulting rework

-

☐ Always produces exceptional work. No rework required.

3.

☐ NOT OBSERVED☐ Wasteful of resources

-

☐ Uses resources efficiently

-

☐ Maximizes resources**EQUAL OPPORTUNITY STANDARDS** – Fairness, respect for human worth.

1.

☐ NOT OBSERVED☐ Displays personal bias or engages in harassment

-

☐ Always treats others with fairness and respect

-

☐ Admired for fairness and human respect

2.

☐ NOT OBSERVED☐ Tolerates bias, unfairness or harassment in subordinates

-

☐

Does not condone bias or harassment in or outside of workplace

-

☐

Ensures a climate of fairness and respect for human worth

3.

☐ NOT OBSERVED☐ Lacks respect for EO objectives

-

4.

☐

Supports Navy EO objectives

-

☐

Pro-active EO leader, achieves concrete EO objectives

☐

NOT OBSERVED

☐ Interferes with order and discipline by disregarding rights of others

-

☐

Leader and model contributor to unit cohesiveness and morale

MILITARY BEARING/CHARACTER STANDARDS – Appearance, Conduct, Physical Fitness, Navy Core Values

1.

☐ NOT OBSERVED☐ Consistently unsat appearance

-

☐

Excellent personal appearance

-

☐

Exemplary personal appearance

2.

☐ NOT OBSERVED☐ Poor self-control; conduct resulting in disciplinary action

-

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____ Excellent conduct, conscientiously complies with regulations

-

____ Model of conduct, on and off-duty

3.

____ NOT OBSERVED

____ Unable to meet one or more physical readiness standards

-

____ Complies with physical readiness program, within all standards

-

____ Excellent or outstanding PRT. A leader in physical readiness

4.

____ NOT OBSERVED

____ Fails to live up to one or more of Navy Core Values: Honor, Commitment

-

____ Always lives up to Navy Core Values: Honor, Commitment, Courage

PERSONAL JOB ACCOMPLISHMENT/INITIATIVE STANDARDS- Responsibility, quality of work

1.

____ NOT OBSERVED

____ Needs prodding to attain qualification or finish job

-

____ Productive and motivated. Completes tasks and qualifications fully

-

____ Energetic self-starter. Completes tasks or qualifications early

2.

____ NOT OBSERVED

____ Prioritizes poorly

-

____ Plans/prioritizes effectively

-

____ Plans/prioritizes wisely and with exceptional foresight

3.

☐ NOT OBSERVED☐ Avoids responsibility

-

☐ Reliable, dependable, willingly accepts responsibility

-

☐ Seeks extra responsibility and takes on the hardest jobs**TEAMWORK STANDARDS** – Contributions to team building and team results

1.

☐ NOT OBSERVED☐ Creates conflict, unwilling to work with others, puts self above team

-

☐☐ Reinforces others' efforts, meets commitments to team

-

☐ Team builder, inspires cooperation and progress

2.

☐ NOT OBSERVED☐ Fails to understand team goals or teamwork techniques

-

☐ Understands goals, employs good teamwork techniques

-

☐ Focuses goals and techniques for teams

3.

☐ NOT OBSERVED☐ Does not take direction well

-

☐ Accepts and offers team direction☐ The best at accepting and offering team direction**LEADERSHIP STANDARDS** – Organizing, motivating, and developing others to accomplish goals

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1.

☐ NOT OBSERVED☐ Fails to motivate, train or develop subordinates

-

☐ Effectively motivates, trains and develops subordinates

-

☐ Inspiring motivator and trainer, consistently builds winner

2.

☐ NOT OBSERVED☐ Fails to organize, creates problems for subordinates

-

☐ Organizes successfully solves problems as they occur

-

☐ Superb organizer, great foresight, gets ahead of problems

3.

☐ NOT OBSERVED☐ Does not set or achieve goals relevant to command mission

-

☐ Sets/achieves useful, realistic goals which support command mission

-

☐ Leadership achievements significantly further command mission

4.

☐ NOT OBSERVED☐ Lacks ability to cope with or tolerate stress. Puts self above team

-

☐ Reinforces others' efforts, meets commitments to team☐ Team builder, inspires cooperation and progress

5.

☐ NOT OBSERVED☐ Inadequate communicator

-

☐ Clear timely communicator

-

☐ Exceptional communicator

6.

____ NOT OBSERVED

____ Tolerates hazards or unsafe practices

-

____ Ensures safety of personnel and equipment

-

____ Makes subordinates safety-conscious, has top safety record

7.

____ NOT OBSERVED

____ Does not attend to welfare of subordinates

-

____ Routinely considers subordinates' personal and professional welfare

-

____ Constantly improves the personal and professional lives of others

**RECOMMENDED ENLISTED PERFORMANCE EVALUATION/FITREP
SUBMISSION SCHEDULE**

	E-3 Below	E-4	E-5	E-6	E-7/E-8	E-9
Originate Rough	6/1	5/1	2/1	10/1	8/1	3/1
Division Officer Review	6/5	5/5	2/5	10/5	8/5	3/5
Dept Head Review	6/10	5/10	2/10	10/10	8/10	3/10
Enlisted Perform Review	6/17	5/17	2/17	10/17	8/17	3/17
Pers/XO/CO Review Approval	6/20	5/20	2/20	10/20	8/20	3/20